

**Appendix D – Gaps in controls and assurances monitored through the Risk Register.**

Risk Ref	Oversight Committee	Risk Description	Initial Risk Score	Controls, Assurances and Actions	Residual Risk Rating		
					Likelihood	Impact	Score
GN011	Quality and Performance Committee	There is a risk that the ability of our providers to provide safe high quality care is compromised due to the difficulties in being able to recruit, develop and retain an effective workforce with the potential to lead to impact on patient care and outcomes.	12	<ul style="list-style-type: none"> <li>• Triangulation of workforce issues with safety/ quality metrics monitored by the Quality Team</li> <li>• Quality of care provided continues to be monitored through contractual processes including regular quality review/scrutiny meetings for each of our main providers.</li> <li>• Workforce indicators included within CCGs' Performance Report (monitored by the Quality and Performance Committee).</li> <li>• Performance Report and escalation of any specific issues received by the GNJCC.</li> <li>• Quality and Performance Committee receive thematic Quality reports, which contain workforce information.</li> <li>• Quality visits initiated for any areas of concern.</li> <li>• STP leading on workforce across the system</li> </ul>	3	4	12

Risk Ref	Oversight Committee	Risk Description	Initial Risk Score	Controls, Assurances and Actions	Residual Risk Rating		
					Likelihood	Impact	Score
GN028	Audit and Governance Committees	Due to the absence of formal reporting mechanisms, there is a risk that the Governing Body may not be adequately assured that the STP and Greater Nottingham Transformation Programme (GNTP) governance arrangements are functioning effectively.	15	<ul style="list-style-type: none"> <li>CCG membership on the STP and GNTP Board (and their reporting groups).</li> <li>Regular reporting from the GNTP included in the GNJCC's Annual Work Programme.</li> <li>Routine STP updates provided to the GNJCC for information</li> <li>Follow-up of Internal Audit GNTP/ STP governance review scheduled for November 2018</li> </ul>	3	3	9
GN040	EMT	CCG staff may not be undertaking their mandatory and statutory training, caused by, no central training system or monitoring mechanism, resulting in non-compliance with legislation and national guidance with potential reputational harm	9	<ul style="list-style-type: none"> <li>Data currently captured via separate reporting systems and manual collation.</li> <li>Training requirements communicated to staff via internal newsletter.</li> <li>Potential for a central system to be investigated during Q3 and Q4 2018/19</li> </ul>	3	3	9

Risk Ref	Oversight Committee	Risk Description	Initial Risk Score	Controls, Assurances and Actions	Residual Risk Rating		
					Likelihood	Impact	Score
GN047	Finance Committee	There is the potential that the CCGs' contract monitoring arrangements may not be suitably robust in order to predict when potential financial pressures become unmanageable for a provider. There is a risk that this could impact on the CCG in terms of additional financial costs and resources and affect the delivery of objectives/duties	12	<ul style="list-style-type: none"> <li>Monitoring via Contract Management Boards</li> <li>Regular meetings with Providers to monitor performance against contract, including risks to delivery</li> <li>Updates from financial regulators (NHS Improvement) noting any concerns around licensed Providers.</li> <li>Finance Committee has duty to triangulate finance, activity and contractual information across the four Greater Nottingham CCGs and for each individual CCG</li> </ul>	3	3	9
GN057	Clinical Commissioning Executive Group	Local Authority Budget Cuts put pressure on health services and costs	9	<ul style="list-style-type: none"> <li>Pooled budget considerations in place for making savings across health and social care provision.</li> <li>Oversight of Local Authority Budgetary Pressures on Health Services in Nottingham City at Joint Commissioning Committee in July 2018</li> </ul>	3	3	9
GN078	Executive Management Team.	The increase in staff turnover following the restructuring process could potentially lead to the loss of organisational memory and impact of the achievement of the CCGs'	12	<ul style="list-style-type: none"> <li>Organisational Development Manager starting in post 15 October 2018 who will be developing the CCGs' OD plan</li> <li>Staff appraisal process communicated to all line managers in September 2018.</li> <li>Weekly Greater Nottingham staff news updates to keep staff informed and engaged</li> <li>Staff engagement sessions led by the (Acting) Accountable</li> </ul>	3	3	9

Risk Ref	Oversight Committee	Risk Description	Initial Risk Score	Controls, Assurances and Actions	Residual Risk Rating		
					Likelihood	Impact	Score
		statutory requirements.		Officer during September 2018.			
GN087	Executive Management Team.	As a result of the restructuring process and period of ongoing change and uncertainty, staff may become disengaged which could result in low morale and reduced productivity	16	<ul style="list-style-type: none"> <li>Organisational Development Manager starting in post 15 October 2018</li> <li>Staff appraisals completed by line managers</li> <li>Weekly Greater Nottingham staff news updates to keep staff informed and engaged</li> <li>Staff engagement sessions led by the Accountable Officer</li> <li>Staff survey due to commence in October 2018</li> </ul>	4	3	12
GN088	Executive Management Team.	Inconsistency and accuracy of sickness recording during and since the conclusion of the organisational change process due to changes in line managements and access to Electronic Staff Record (ESR) Supervisor Service	12	<ul style="list-style-type: none"> <li>HR Manager starting in post 15 October 2018</li> <li>Centralised sickness recording process to mitigate access to ESR Supervisor Self Service</li> <li>ESR Supervisor Self Service available for managers with appropriate access</li> <li>Sickness management reports sent to Line Managers on a monthly basis</li> </ul>	4	3	12